



PATENTS
Attorney Docket No. CF/034

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Andrew C. Gilbert et al.
Application No. : 10/047,607 Confirmation No. : 5741
Filed : January 14, 2002
For : SYSTEMS AND METHODS FOR ELECTRONIC
TRADING THAT PERMIT PRINCIPAL/BROKER
TRADING
Group Art Unit 2164
Examiner : Not Yet Assigned

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicant hereby makes the following documents of record in the above-identified patent application:

U.S. Patent Documents

| | | |
|---------------|--------------------|--------------------|
| Broka et al. | Pat. No. 5,809,483 | September 15, 1998 |
| Fernholz | Pat. No. 5,819,238 | October 6, 1998 |
| Lupien et al. | Pat. No. 6,098,051 | August 1, 2000 |

Copies of the aforementioned references, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith. Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication. Consideration of the foregoing in relation to this patent application is respectfully requested.

The information contained in this Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application. In particular, these references were cited in the April 25, 2003 International Search Report in applicants' corresponding PCT international application PCT/US02/16820. A copy of that Search Report is enclosed herewith. The Search Report also cites U.S. Patent 6,317,727. This document is not cited here because it was previously cited in an Information Disclosure Statement filed with the United States Patent and Trademark Office on April 24, 2003.

Pursuant to 37 C.F.R. § 1.97(e)(1), applicants hereby certify that the listed documents were cited in a communication from a foreign patent office not more than three months prior to the date of this Statement. Therefore, in accordance with 37 C.F.R. § 1.97(c)(1), submission of this

Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Supplemental Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,

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